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Attorney Docket P3230R1C1  
PATENT

EK 994 646 308 US Express Mail Number

December 6, 2001: Date of Deposit

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

BOX PATENT APPLICATION  
Assistant Commissioner of Patents  
Washington, D.C. 20231

**NON-PROVISIONAL APPLICATION TRANSMITTAL UNDER 37 CFR 1.53(b)**

Transmitted herewith for filing is a non-provisional patent application:

Inventor(s) (or Application "Identifier"):

Dan Eaton, San Rafael, CA  
Ellen Filvaroff, San Francisco, CA  
Mary E. Gerritsen, San Mateo, CA  
Audrey Goddard, San Francisco, CA  
Paul J. Godowski, Hillsborough, CA  
J. Christopher Grimaldi, San Francisco, CA  
Austin L. Gurney, Belmont, CA  
Colin K. Watanabe, Moraga, CA  
William I. Wood, Hillsborough, CA

Title: SECRETED AND TRANSMEMBRANE POLYPEPTIDES AND NUCLEIC ACIDS  
ENCODING THE SAME

**1. Type of Application**

- [ ] This application is for an original, non-provisional application.
- [ ] This is a non-provisional application claiming priority to provisional application no. \_\_, filed \_\_, the entire disclosure of which is hereby incorporated by reference.
- [X] This is a [ ] continuation-in-part [X] continuation [ ] divisional application claiming priority to application Serial Number 60/063435 Filed 10/29/97; 60/064215 Filed 10/29/97; 60/082797 Filed 4/22/98; 60/083495 Filed 4/29/98; 60/085579 Filed 5/15/98; 60/087759 Filed 6/2/98; 60/088021 Filed 6/4/98; 60/088029 Filed 6/4/98; 60/088030 Filed 6/4/98; 60/088734 Filed 6/10/98; 60/088740 Filed 6/10/98; 60/088811 Filed 6/10/98; 60/088824 Filed 6/10/98; 60/088825 Filed 6/10/98; 60/088863 Filed 6/11/98; 60/089105 Filed 6/12/98; 60/089514 Filed 6/16/98; 60/089653 Filed 6/17/98; 60/089952 Filed 6/19/98; 60/090246 Filed 6/22/98; 60/090444 Filed 6/24/98; 60/090688 Filed 6/25/98; 60/090696 Filed 6/25/98; 60/090862 Filed 6/26/98; 60/091628 Filed 7/2/98; 60/096012 Filed 8/10/98; 60/096757 Filed 8/17/98; 60/096949 Filed 8/18/98; 60/096959 Filed 8/18/98; 60/097954 Filed 8/26/98; 60/097971 Filed 8/26/98; 60/097979 Filed 8/26/98; 60/098749 Filed 9/1/98; 60/099741 Filed 9/10/98; 60/099763 Filed 9/10/98; 60/099792 Filed 9/10/98; 60/099812 Filed 9/10/98; 60/099815 Filed 9/10/98; 60/100627 Filed 9/16/98; 60/100662 Filed 9/16/98; 60/100683 Filed 9/17/98; 60/100684 Filed 9/17/98; 60/100930 Filed 9/17/98; 60/101279 Filed 9/22/98; 60/101475 Filed 9/23/98; 60/101738 Filed 9/24/98; 60/101743 Filed 9/24/98;

60/101916 Filed 9/24/98; 60/102570 Filed 9/30/98; 60/103449 Filed 10/6/98; 60/103678 Filed 10/8/98; 60/103679 Filed 10/8/98; 60/103711 Filed 10/8/98; 60/105000 Filed 10/20/98; 60/105002 Filed 10/20/98; 60/105881 Filed 10/27/98; 60/106030 Filed 10/28/98; 60/106464 Filed 10/30/98; 60/106856 Filed 11/3/98; 60/108807 Filed 11/17/98; 60/112419 Filed 12/15/98; 60/112422 Filed 12/15/98; 60/112853 Filed 12/16/98; 60/113011 Filed 12/16/98; 60/112854 Filed 12/16/98; 60/113300 Filed 12/22/98; 60/113408 Filed 12/22/98; 60/113430 Filed 12/23/98; 60/113621 Filed 12/23/98; 60/114223 Filed 12/30/98; 60/115614 Filed 1/12/99; 60/116527 Filed 1/20/99; 60/116843 Filed 1/22/99; 60/119285 Filed 2/9/99; 60/119287 Filed 2/9/99; 60/119525 Filed 2/10/99; 60/119549 Filed 2/10/99; 60/120014 Filed 2/11/99; 60/129122 Filed 4/13/99; 60/129674 Filed 4/16/99; 60/131291 Filed 4/27/99; 60/138387 Filed 6/9/99; 60/144791 Filed 7/20/99; 60/169495 Filed 12/7/99; 60/175481 Filed 1/11/00; 60/191007 Filed 3/21/00; 60/199397 Filed 4/25/00; 09/380139 Filed 8/25/98; 09/311832 Filed 5/14/99; 09/380137 Filed 8/25/99, now abandoned; 09/380138 Filed 8/25/99, now abandoned; 09/380142 Filed 8/25/99, now abandoned; 09/397342 Filed 9/15/99; 09/403297 Filed 10/18/99, now abandoned; 09/423844 Filed 11/12/99, now abandoned; 09/644848 Filed 8/22/00; 09/665350 Filed 9/18/00; 09/664610 Filed 9/18/00, now abandoned; 09/709238 Filed 11/8/00; 09/747259 Filed 12/20/00; 09/816744 Filed 3/22/01; 09/854208 Filed 5/10/01; 09/854280 Filed 5/10/01; 09/870574 Filed 5/30/01; 09/874503 Filed 6/5/01; 09/869599 Filed 6/29/01; 09/908,827 Filed 7/18/01; PCT/US98/19330 Filed 9/16/98; PCT/US99/05028 Filed 3/8/99; PCT/US99/10733 Filed 5/14/99; PCT/US99/12252 Filed 6/2/99; PCT/US99/20111 Filed 9/1/99; PCT/US99/21090 Filed 9/15/99; PCT/US99/21194 Filed 9/15/99; PCT/US99/30720 Filed 12/22/99; PCT/US00/04341 Filed 2/18/00; PCT/US00/04342 Filed 2/18/00; PCT/US00/04414 Filed 2/22/00; PCT/US00/05601 Filed 3/1/00; PCT/US00/08439 Filed 3/30/00; PCT/US00/14042 Filed 5/22/00; PCT/US00/15264 Filed 6/2/00; PCT/US00/23522 Filed 8/23/00; PCT/US00/23328 Filed 8/24/00; PCT/US00/30873 Filed 11/10/00; PCT/US00/32378 Filed 12/1/00; PCT/US00/34956 Filed 12/20/00; PCT/US01/06520 Filed 2/28/01; PCT/US01/06666 Filed 3/1/01; PCT/US01/17443 Filed 5/30/01; PCT/US01/17800 Filed 6/1/01; PCT/US01/19692 Filed 6/20/01; PCT/US01/21066 Filed 6/29/01; PCT/US01/21735 Filed 7/9/01, the entire disclosure of which is hereby incorporated by reference.

2. **Papers Enclosed Which Are Required For Filing Date Under 37 CFR 1.53(b) (Non-provisional )**

98 pages of specification  
10 pages of claims  
1 page(s) of abstract  
168 sheet(s) of drawings  
☒ formal ☐ informal

3. **Declaration or Oath**

*(for new and CIP applications; also for Cont./Div. where inventor(s) are being added)*  
☒ An executed declaration of the inventor(s) ☒ is enclosed ☐ will follow.

*(for Cont./Div. where inventorship is the same or inventor(s) being deleted)*  
☐ A copy of the executed declaration/oath filed in the prior application is enclosed (37 CFR 1.63(d)).

*(for Cont./Div. where inventor(s) being deleted)*  
☐ A signed statement is attached deleting inventor(s) named in the prior application (see 37 CFR 1.63(d)(2) and 1.33(b)).

**4. Assignment***(for new and CIP applications)*

X An Assignment of the invention to GENENTECH, INC. [X] is enclosed with attached Recordation Form Cover Sheet [ ] will follow.

*(for cont./div.)*

\_\_\_ The prior application is assigned of record to Genentech, Inc.

**5. Amendments (for continuation and divisional applications)**

\_\_\_ Cancel in this application original claims \_\_ of the prior application before calculating the filing fee. (At least one original independent claim must be retained for filing purposes.)

X A preliminary amendment is enclosed. (Claims added by this amendment have been properly numbered consecutively beginning with the number next following the highest numbered original claim in the prior application.)

**6. Fee Calculation (37 CFR 1.16)**

The fee has been calculated as follows:

CLAIMS FOR FEE CALCULATION					
Number Filed		Number Extra		Rate	Basic Fee 37 CFR 1.16(a)
					\$740.00
Total Claims	38	- 20 =	18	X \$18.00	\$324.00
Independent Claims	18	- 3 =	15	X \$80.00	\$1,200.00
___ Multiple dependent claim(s), if any				+ \$270.00	\$0.00
Filing Fee Calculation					\$2,264.00

**7. Method of Payment of Fees**

The Commissioner is hereby authorized to charge Deposit Account No. 07-0630 in the amount of \$2,264.00. **A duplicate copy of this transmittal is enclosed.**

**8. Authorization to Charge Additional Fees**

The Commissioner is hereby authorized to charge any additional fees required under 37 CFR §1.16 and 1.17, or credit overpayment to Deposit Account No. 07-0630. **A duplicate copy of this sheet is enclosed.**

9. **Additional Papers Enclosed**

- ☐ Information Disclosure Statement (37 CFR §1.98) w/ PTO-1449 and citations  
☒ Submission of "Sequence Listing", computer readable copy, certificate re: sequence listing, and/or amendment pertaining thereto for biological invention containing nucleotide and/or amino acid sequence.  
☐ A new Power of Attorney or authorization of agent.  
☒ Other: Post card.

10. **Maintenance of Copendency of Prior Application** (for continuation and divisional applications)

*[This item **must** be completed and the necessary papers filed in the prior application if the period set in the prior application has run]*

- \_\_\_\_\_ A petition, fee and/or response has been filed to extend the term in the pending prior application until  
\_\_\_\_\_ A copy of the petition for extension of time in the **prior** application is attached.

11. **Correspondence Address:**

X Address all future communications to:

Attn: Paul E. Rauch, Ph.D.  
Brinks, Hofer, Gilson & Lione  
NBC Tower - Suite 3600  
455 N. Cityfront Plaza Drive  
Chicago, IL 60611-3600  
Telephone: 312-321-4780  
Facsimile: 312-321-4299  
Registration No. 38,591  
Customer No. 28,442

Respectfully submitted,  
GENENTECH, INC.

By: Elizabeth M. Barnes  
Elizabeth M. Barnes, Ph.D.  
Reg. No. 35,059  
Telephone No. (650) 225-4563

Date: December 6, 2001



09157

PATENT TRADEMARK OFFICE

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

<p>In re Application of Dan L. Eaton, et al. Serial No.: Unknown (filed herewith)</p>	<p>Group Art Unit: Unknown Examiner: Unknown</p>
<p>Filed: December 3, 2001 (herewith) For: SECRETED AND TRANSMEMBRANE POLYPEPTIDES AND NUCLEIC ACIDS ENCODING THE SAME</p>	<p>Express Mail No: EK 994 646 308 US Mailed on: December 6, 2001</p>

**CERTIFICATE RE: SEQUENCE LISTING**

**RESPONSE UNDER 37 CFR § 1.821(f) and (g)**

Box: Patent Application  
U.S. Patent and Trademark Office  
P.O. Box 2327  
Arlington, VA 22202

Sir:

I hereby state that the Sequence Listing submitted herewith is submitted in paper copy and a computer-readable diskette, and that the information recorded in computer readable form is identical to the written sequence listing. I further state that this submission includes no new matter.

Respectfully submitted,

GENENTECH, INC.

By: *Elizabeth M. Barnes*

Elizabeth M. Barnes, Ph.D.

Reg. No. 35,059

Telephone No. (650) 225-4563

Date: December 6, 2001



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PATENT TRADEMARK OFFICE